

3624

PTO/SB/21 (05-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application Number	09/651,301
		Filing Date	August 30, 2000
		First Named Inventor	Richard W. Friesen
		Art Unit	3624
		Examiner Name	Akers, G.
Total Number of Pages in This Submission	N/A	Attorney Docket Number	36992.00109

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate)	<input type="checkbox"/> Assignment and Recordation Cover Sheet (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Request for Corrected Filing Receipt	<input type="checkbox"/> Drawing(s) _____ Sheets	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> With RCE	<input type="checkbox"/> RCE	<input type="checkbox"/> Status Request
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input checked="" type="checkbox"/> Return Postcard	<input type="checkbox"/> Terminal Disclaimer	<b>8 References</b>
<input checked="" type="checkbox"/> Information Disclosure Statement (2 pages)	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> PTO Form 1449 (1 page)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Declaration/Oath		

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AUG 13 2003

GROUP 3600

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Paul A. Durdik, Reg. No. 37,819 Squire, Sanders & Dempsey L.L.P. 600 Hansen Way Palo Alto, CA 94304-1043
Signature	
Date	August 7, 2003

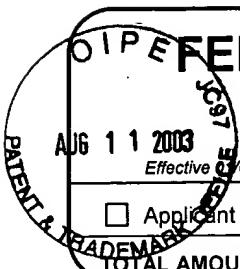
## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Sandy Yi
Signature	
Date	August 7, 2003

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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# O I P E FEE TRANSMITTAL for FY 2003

AUG 11 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

(\$ 0)

## Complete if Known

Application Number	09/651,301
Filing Date	August 30, 2000
First Named Inventor	Richard W. Friesen
Examiner Name	Akers, G.
Art Unit	3624
Attorney Docket No.	36992.00109

## METHOD OF PAYMENT (check all that apply)

 Check    Credit card    Money    Other    None  
Order
 Deposit Account:Deposit Account Number  
05-0150Deposit Account Name  
Squire, Sanders & Dempsey L.L.P.

## The Director is authorized to: (check all that apply)

- 
- Charge fee(s) indicated below
- 
- Credit any overpayments
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- 
- Charge any additional fee(s) during the pendency of this application
- 
- 
- Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee Code (\$)	Fee (\$)	
1001	750	2001 375	Utility filing fee
1002	330	2002 165	Design filing fee
1003	520	2003 260	Plant filing fee
1004	750	2004 375	Reissue filing fee
1005	160	2005 80	Provisional filing fee
SUBTOTAL (1)		(\$ 0)	

## 2. EXTRA CLAIM FEES

Total Claims	-20 **	=	0	X	Fee from below	=	0	Fee Paid
Independent Claims	-3 **	=	0	X		=	0	
Multiple Dependent				X		=	0	

Large Entity	Small Entity	Fee Description
Fee Code	Fee Code (\$)	Fee (\$)
1202	18	2202 9
1201	84	2201 42
1203	280	2203 140
1204	84	2204 42
1205	18	2205 9
SUBTOTAL (2)		(\$ 0)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee Code (\$)	Fee (\$)	
1051	130	2051 65	Surcharge - late filing fee or oath
1052	50	2052 25	Surcharge - late provisional filing fee or cover sheet.
1053	130	1053 130	Non-English specification
1812	2,520	1812 2,520	For filing a request for reexamination
1804	920*	1804 920*	Requesting publication of SIR prior to Examiner action
1805	1,840*	1805 1,840*	Requesting publication of SIR after Examiner action
1251	110	2251 55	Extension for reply within first month
1252	410	2252 205	Extension for reply within second month
1253	930	2253 465	Extension for reply within third month
1254	1,450	2254 725	Extension for reply within fourth month
1255	1,970	2255 985	Extension for reply within fifth month
1401	320	2401 160	Notice of Appeal
1402	320	2402 160	Filing a brief in support of an appeal
1403	280	2403 140	Request for oral hearing
1451	1,510	1451 1,510	Petition to institute a public use proceeding
1452	110	2452 55	Petition to revive – unavoidable
1453	1,300	2453 650	Petition to revive – unintentional
1501	1,300	2501 650	Utility issue fee (or reissue)
1502	470	2502 235	Design issue fee
1503	630	2503 315	Plant issue fee
1460	130	1460 130	Petitions to the Commissioner
1807	50	1807 50	Processing fee under 37 CFR 1.17(q)
1806	180	1806 180	Submission of Information Disclosure Stmt
8021	40	8021 40	Recording each patent assignment per property (times number of properties)
1809	750	2809 375	Filing a submission after final rejection (37 CFR § 1.129(a))
1810	750	2810 375	For each additional invention to be examined (37 CFR § 1.129(b))
1801	750	2801 375	Request for Continued Examination (RCE)
1802	900	1802 900	Request for expedited examination of a design application
Other fee (specify) _____			
*Reduced by Basic Filing Fee Paid		SUBTOTAL (3)	(\$ 0)

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## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type)	Paul A. Durdik	Registration No. Attorney/Agent	37,819	Telephone	650.856.6500
Signature			Date	August 7, 2003	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing this form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



PATENT  
Attorney Docket No.: 36992.00109

8/14/03

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	
Richard W. Friesen, et al.	Examiner: Akers, G.
Serial No.: 09/651,301	Art Unit: 3624
Filed: August 30, 2000	
Title: USER INTERFACE FOR SEMI-FUNGIBLE TRADING	

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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### INFORMATION DISCLOSURE STATEMENT PURSUANT TO 37 CFR §§1.97-1.98

Sir:

In accordance with the duty of disclosure under 37 CFR §1.56 and pursuant to 37 CFR §§1.97-1.98, Applicants hereby notify the U.S. Patent and Trademark Office of the references listed on the attached Form PTO-1449. One copy of each cited reference is submitted herewith.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicants reserve the right to dispute any of the listed documents as prior art during examination. Furthermore, Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application. The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made or that no other material information may exist.

The Examiner is requested to initial the enclosed Form PTO-1449 and return a copy thereof to the undersigned.

If for any reason an insufficient fee has been paid, please charge the insufficiency to  
Deposit Account No. 05-0150.

Date: 8/7/2003

Squire, Sanders & Dempsey L.L.P.  
600 Hansen Way  
Palo Alto, CA 94304-1043  
Telephone (650) 856-6500  
Facsimile (650) 843-8777

Respectfully submitted,



Paul A. Durdik  
Attorney for Applicants  
Reg. No. 37,819